## **Docket Number Application Number** 04-6174 10/767,699 INFORMATION DISCLOSURE **Applicants** STATEMENT BY APPLICANT Thomas J. DALEY, et al. **Filing Date Group Art Unit** January 29, 2004 3691 U.S. PATENT DOCUMENTS Class Examiner Cite Document Number Date Name of Patentee Sub-Class Filing Date Initials No. 2/20/2007 7,181,419 Mesaros 7,213,000 5/1/2007 Gutierrez et al. 2004/0024684 2/5/2004 Montepeque 6/21/2005 Scott et al. 6,909,941 7,152,037 12/19/2006 Smith FOREIGN PATENT DOCUMENTS Date Examiner Cite Foreign Document Number Country Name of Patentee or Applicant of Sub-Class Translation Initials No. Code Cited Document JP 2002-203112 JΡ 7/19/2002 Terajima JP 2003-058733 2/28/2003 JP Toyama et al. JP JP 2003-058741 2/28/2003 Kobayashi et al. JP 2002-183446 6/28/2002 JP Zumoto et al. JP JP 2003345987 12/5/2003 Inoue et al. NON PATENT LITERATURE DOCUMENTS Author, Title, date, pages, volume, publisher, city and/or country where published Cite Examiner Initials No. Australian Examiner's Report for Application No. 2006278382, dated July 9, 2009 (3 pages). USPTO Notice of Allowance and Fees Due for Application No. 11/499833, dated March 12, 2010 (9 pages). New AZX Session, Trader's v10 n130, October 1997, p. 4 (p.20 of EIC search). The New Trading Landscape for Institutional Investors, Institutional Trades Can Be Costly If Investors Aren't Careful, Norman Harris, Institutional Investor 36, 5, S1 (7) May 2002 (p.21 of EIC search). Scientific and Technical Information Center's Search Report EIC 3600, dated July 9, 2009 (88 pages). International Preliminary Report on Patentability for PCT Application No. PCT/US05/03164, dated January 9, 2007 (4 pages). Japanese Office Action with English translation for Application No. 2006-551589, dated April 20, 2010 (6 pages). International Preliminary Report on Patentability for PCT Application No. PCT/US05/03166, dated July 31, 2006 (4 pages). Examiner Date Signature Considered

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